

## Instruction Form for Securities Services 證券服務指示申請表

◆ Your request will normally be processed within 3 business days (excluding Saturday, Sunday and public holiday) upon receipt of your form  
在一般情況下，閣下之指示將在本行收到申請表後三個營業日內（不包括星期六、日及公眾假期）處理

◆ Please "✓" where appropriate and "delete whichever inapplicable" 請在適當的方格加上 "✓" 及 \*刪去不適用者

Date 日期：\_\_\_\_\_

Customer Details 客戶資料																																							
Name of Customer 客戶名字	Identity Document No. 身份證明文件	Contact Tel No. 聯絡電話號碼																																					
Customer CIF No. 客戶號碼	Securities Account No. 證券戶口號碼																																						
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: center;">0</td> <td style="width: 10%; text-align: center;">7</td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> </tr> </table>	0	7																	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: center;">0</td> <td style="width: 10%; text-align: center;">7</td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> <td style="width: 10%;"></td> </tr> </table>		0	7																	
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Type of Instruction 指示類別																																							
<p><u>Daily Trading Limit 按日買賣限額</u></p> <p><input type="checkbox"/> I/We would like to set the Daily Trading Limit to the amount indicated by a ✓ below to bind the daily trading turnover (being the aggregate of order consideration and charges for all buy &amp; sell orders placed via all trading channels that have been accepted by the Bank for sending or waiting to be sent to the Stock Exchange of Hong Kong on the same day) in my/our securities account: 本人/吾等欲設立按日買賣限額至下面方格加上 "✓" 號之銀碼以約束本人/吾等之證券戶口之每日交易量（指同一天經所有交易途徑發出及獲本行接納並已傳送或待傳送至香港聯交所之買入指令及沽出指令之交易額及收費）：</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;"><input type="checkbox"/> HK\$3,000,000</td> <td style="text-align: center;"><input type="checkbox"/> HK\$8,000,000</td> <td style="text-align: center;"><input type="checkbox"/> HK\$15,000,000</td> <td style="text-align: center;"><input type="checkbox"/> HK\$30,000,000</td> <td style="text-align: center;"><input type="checkbox"/> HK\$50,000,000</td> <td style="text-align: center;"><input type="checkbox"/> Unlimited Amount 無限額</td> </tr> </table>			<input type="checkbox"/> HK\$3,000,000	<input type="checkbox"/> HK\$8,000,000	<input type="checkbox"/> HK\$15,000,000	<input type="checkbox"/> HK\$30,000,000	<input type="checkbox"/> HK\$50,000,000	<input type="checkbox"/> Unlimited Amount 無限額																															
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<p><u>Registered Information 登記資料</u></p> <p><input type="checkbox"/> I/We would like to register the following information for delivery of security notifications relating to my/our securities account: 本人/吾等欲登記下列資料以便發送與本人/吾等之證券戶口相關之保安通知：</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 25%;"><u>Language 語言*</u></th> <th style="width: 45%;"><u>Mobile Phone No. 手提電話號碼**</u></th> <th style="width: 30%;"><u>Email Address 電郵地址</u></th> </tr> </thead> <tbody> <tr> <td style="vertical-align: top;"> <input type="checkbox"/> English 英文  <input type="checkbox"/> Chinese 中文   <small>* default in English if not selected 如果沒有選擇，則默認為英語</small> </td> <td style="vertical-align: top;"> <input type="checkbox"/> Add 新增    <input type="checkbox"/> Change 更改   <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border-bottom: 1px solid black;">Country Code <small>國家編碼</small></td> <td style="width: 25%; border-bottom: 1px solid black;">Area Code <small>地區編碼</small></td> <td style="width: 50%; border-bottom: 1px solid black;">Number <small>號碼</small></td> </tr> </table> <small>** SMS will not be forwarded even if "SMS Forwarding" service has been subscribed by customer with its telecommunication service provider 即使客戶已向其電訊服務供應商申請了“短訊轉發”服務，短訊也不會被轉發</small> </td> <td style="vertical-align: top;"> <input type="checkbox"/> Add 新增    <input type="checkbox"/> Change 更改   <hr/> <small>(Please write in print neatly 請用印刷體書寫)</small> </td> </tr> </tbody> </table>			<u>Language 語言*</u>	<u>Mobile Phone No. 手提電話號碼**</u>	<u>Email Address 電郵地址</u>	<input type="checkbox"/> English 英文 <input type="checkbox"/> Chinese 中文  <small>* default in English if not selected 如果沒有選擇，則默認為英語</small>	<input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改  <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border-bottom: 1px solid black;">Country Code <small>國家編碼</small></td> <td style="width: 25%; border-bottom: 1px solid black;">Area Code <small>地區編碼</small></td> <td style="width: 50%; border-bottom: 1px solid black;">Number <small>號碼</small></td> </tr> </table> <small>** SMS will not be forwarded even if "SMS Forwarding" service has been subscribed by customer with its telecommunication service provider 即使客戶已向其電訊服務供應商申請了“短訊轉發”服務，短訊也不會被轉發</small>	Country Code <small>國家編碼</small>	Area Code <small>地區編碼</small>	Number <small>號碼</small>	<input type="checkbox"/> Add 新增 <input type="checkbox"/> Change 更改  <hr/> <small>(Please write in print neatly 請用印刷體書寫)</small>																												
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<p><u>Electronic Securities Trading Service<sup>1</sup> 電子證券交易服務<sup>1</sup></u></p> <p><input type="checkbox"/> I/We would like to apply for Electronic Securities Trading Service. I/We understand that the Bank may send notification to me/us for security purpose via my/our mobile phone number and email address. I/We acknowledge that if I/we fail to provide such information to the Bank, I/we will not be able to use the Electronic Trading Securities Service. I/We also acknowledge that if the information provided to you is/are inaccurate, I/we will not be able to receive security notification and I/we will bear any risk or loss which may arise. 本人/吾等欲申請電子證券交易服務。本人/吾等了解貴銀行可能透過本人/吾等的手提電話號碼和電郵地址向本人/吾等發送保安通知。本人/吾等亦確認，倘本人/吾等未能向貴銀行提供該等資料，本人/吾等將不能使用電子交易證券服務。本人/吾等亦確認，倘提供給貴銀行的該等資料不準確，本人/吾等將無法收到保安通知，而本人/吾等將承擔任何可能產生的風險或損失。</p> <p><input type="checkbox"/> I/We hereby request for re-issuance of Login Password for Electronic Securities Trading Service. I/We acknowledge that Electronic Securities Trading Service, if previously terminated, will be re-activated upon Login Password re-issuance. 本人/吾等欲補發電子證券交易服務登入密碼。本人/吾等明白，電子證券交易服務如已被停止，登入密碼補發後，將恢復運作。</p> <p><input type="checkbox"/> I/We hereby request for reset of Login ID for Electronic Securities Trading Service. Please delete my/our existing Login ID to cater for my/our creation of a new Login ID using my/our Securities Account No. and last Login Password. 本人/吾等欲重新設定電子證券交易服務之登入編號。請刪除本人/吾等現行之登入編號以便本人/吾等可用證券戶口號碼及最後之登入密碼重新設定登入編號。</p>																																							

Withdrawal of Consent for Use of Personal Data under the Hong Kong Investor Identification Regime (HKIDR) and Over-the-counter Securities Transactions Reporting Regime (OTCR)<sup>2</sup>

撤回香港投資者識別碼制度及場外證券交易匯報制度下個人資料之使用同意書<sup>2</sup>

- I/We hereby withdraw my/our consent for the use of my/our personal data under the HKIDR and OTCR which will apply to each and every securities account currently maintained with the Bank under the same account name. I/we acknowledge that my/our personal data may continue to be stored, processed, used, disclosed or transferred for the said purposes and that the Bank will no longer be able to carry out my/our trading instructions or provide me/us with securities related services (other than to sell, transfer out or withdraw my/our existing holdings of securities, if any).

本人／吾等特此撤回香港投資者識別碼制度及場外證券交易匯報制度下個人資料使用之同意書並將適用於目前以同一戶口名稱開設及維持於貴銀行的每一個證券戶口。本人／吾等明白本人／吾等之個人資料仍可繼續儲存、處理、使用、披露或轉移以作規定用途。而貴銀行則不能夠再執行本人／吾等的交易指示或向本人／吾等提供證券相關服務，惟出售、轉出或提取本人／吾等現有的證券持倉（如有）除外。


Please specify the reason for withdrawal 請註明撤回原因: \_\_\_\_\_

Suspension/Termination Request 暫停／終止指示

- I/We refer to the above Securities Account and hereby request for the following:

本人／吾等欲就上述證券戶口作出以下指示：

- Temporary suspension of all trading channels<sup>3</sup> 暫停所有買賣途徑<sup>3</sup> (Period 期限: from 由 \_\_\_\_\_ to 至 \_\_\_\_\_ )  
 Termination of Electronic Securities Trading Service<sup>3</sup> 終止電子證券交易服務<sup>3</sup>  
 Termination of Securities Account<sup>4</sup> 終止證券戶口<sup>4</sup>

Signature(s) 簽署	For Office Use Only 銀行專用			
	Handling Branch/Dept (Please sign with name, HKMA# and date)		Shares Operations Dept ("SOD") (Please sign with name and date)	
	Handled By	Approved By	Input By	Checked By
Authorized Signature(s) 授權簽署	<b>Please staple PIN Acknowledgement here</b>		Date Rec'd	

<sup>1</sup> Upon new application of Electronic Securities Trading Service, customer must be requested to furnish the Registered Information for delivery of security notifications (which are mandatory with no opt-out allowed) to customer's registered mobile phone number and/or email address.

<sup>2</sup> Must be signed by all account holders in case of joint account.

<sup>3</sup> These instructions may require urgent attention, handling staff should call Shares Trading Centre to effect the suspension/termination immediately (if necessary).

<sup>4</sup> Handling staff should check with SOD if there is stockholding remaining in the securities account and request customer to give disposal instruction using the Bank's specified forms (if applicable).